



Engineering Planning Grant Awardees 2022 Introductory Presentation

Kathy Hochul
Governor

Maureen A. Coleman
President & CEO

Congratulations!

- Over \$3M has been awarded to 70 municipalities under the 2022 Round of the Engineering Planning Grant program.
- Since 2012, the EPG program has funded engineering & planning costs for 560 projects, which has led to over \$875M in CWSRF loans.



Deadlines for 2022 Recipients

May 31, 2023

Submit all checklist items

September 30, 2023

Execute your grant
agreement



Requirements

Several items are required in order to execute a grant agreement. Awardees must obtain:

1. Certified board resolutions
2. Executed engineering agreement with EFC Terms & Conditions and A/E procurement certification
3. Compliance with EEO, MWBE, and SDVOB requirements
4. Budget & plan of finance form
5. Force account proposal

1. Certified Board Resolutions

- Awardees must provide resolutions that:
 - Authorize a representative to execute the Grant Agreement
 - Document and authorize project costs and local match funding requirements
- Signed, certified resolutions should be submitted in PDF format.
- SEQR resolutions are no longer required for planning grants.

Sample resolution language can be found at efc.ny.gov/EPG.

2. Recipient's Executed Engineering Agreement

- All contracts must include the EFC State Financial Assistance Terms & Conditions, regardless of contract amount.
- The contract must be executed by both parties and include details on the fee and scope of services.
- Only planning services will be eligible.
- Other primary agreements made directly with the municipality should also be submitted.

The Terms & Conditions can be found at [***efc.ny.gov/terms-conditions***](https://efc.ny.gov/terms-conditions).

A/E Procurement Certification

- All architectural and engineering (A/E) contracts must be procured through a federally-acceptable RFQ process (40 U.S.C. 1101)
- Effective 10/1/22
- Recipient shall provide an A/E procurement certification for each contract



Environmental
Facilities Corporation

Environmental Facilities Corporation Certification for Architectural/Engineering Services Procurement for Federally Funded Projects

Name of Municipality:

EFC Project Number:

Contract Name(s)/ID(s):

I, , am an Authorized Representative of the Municipality.

I hereby certify that the Municipality has procured the Architectural and Engineering Services (as that term is defined in 40 U.S.C. 1102) for the contract(s) listed above in accordance with 40 U.S.C. 1101 *et seq.*, as outlined below.

- (i) Public announcement of the solicitation (e.g., a Request for Qualifications);
- (ii) Evaluation and ranking of the submitted qualifications statements was based on established, publicly available criteria (e.g., identified in the solicitation). Evaluation criteria should be based on demonstrated competence and qualification for the type of professional services required (e.g., past performance, specialized experience, and technical competence in the type of work required);
- (iii) Discussion with at least three firms to consider anticipated concepts and compare alternative methods for furnishing services;
- (iv) Selection of at least three firms considered to be the most highly qualified to provide the services required; and
- (v) Contract negotiation with the most highly qualified firm to determine compensation that is fair and reasonable based on a clear understanding of the project scope, complexity, professional nature, and the estimated value of the services to be rendered. In the event that a contract could not be negotiated with the most highly qualified firm, negotiation continued in order of qualification.

Authorized Representative

Title:

Date:

Guidance & form can be found at efc.ny.gov/BIL.



Environmental
Facilities Corporation

3. Compliance with MWBE, SDVOB, & EEO Requirements

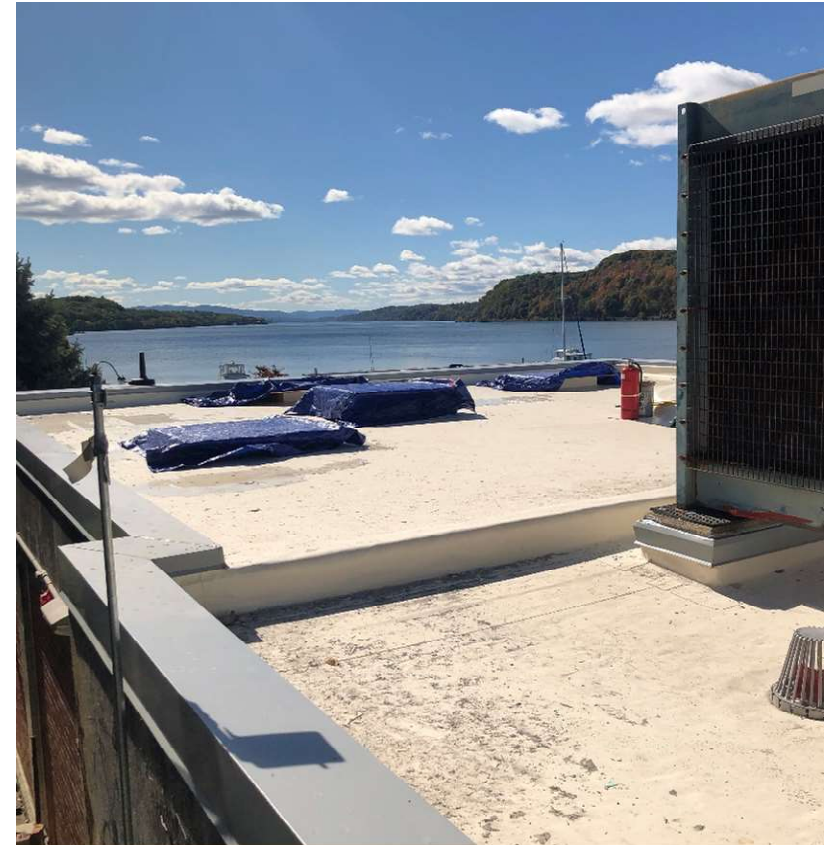
- EEO Policy Statement & EEO Staffing Plan forms must be completed for all contracts.
- Contracts over \$25,000 have an MWBE goal of 30% and an SDVOB goal of 6%. These goals apply to the grant amount only.
 - A Workplan will be completed to designate a municipal employee as the Minority Business Officer (MBO).
 - An approved Utilization Plan or waiver will be needed for both MWBE and SDVOB.
 - Good-faith effort to search for applicable MWBE/SDVOB firms must be shown in order to request a waiver.

Forms & resources can be found at:

[*efc.ny.gov/MWBE*](http://efc.ny.gov/MWBE)
[*ny.newnycontracts.com*](http://ny.newnycontracts.com)
[*efc.ny.gov/SDVOB*](http://efc.ny.gov/SDVOB)
[*online.ogs.ny.gov/SDVOB/search*](http://online.ogs.ny.gov/SDVOB/search)

4. Budget & Plan of Finance

- Identify all known and estimated costs for the preparation of an engineering report.
- Identify all sources of monies expected to fund the total cost of the preparation of the engineering report.
- Actual amounts should be used when available.
- The form should be submitted in the original Excel format.



The budget form can be found at efc.ny.gov/EPG.

Local Match

All EPGs require a local match of 20% of the **grant amount**:

Example using \$30,000 grant

Grant Award \$30,000

Local Match \$6,000

Total Project Cost \$36,000

Example using \$50,000 grant

Grant Award \$50,000

Local Match \$10,000

Total Project Cost \$60,000

Technical/Administrative Force Account, i.e. in-kind services, can be used as local match but must be approved by EFC.

In-kind services: municipal equipment or labor committed that would otherwise be paid from the project budget.

5. Force Account

- In order to utilize technical or administrative force account, additional items must be provided to EFC for review & approval:
 - Proposal
 - Record Log
 - Certification for Technical Force Account Use
- The proposal and technical certification should be submitted with the budget form.



Templates are available at efc.ny.gov/EPG.

PROJECT BUDGET & PLAN OF FINANCE

Example Budget

Recipient Name: City of Anytown
 Project Name: Sewershed #1 I&I Study
 Project Number: 100123
 County: Albany
 Date: June 1, 2021

Please fill out the left column for Green Innovation Grant Program (GIGP) costs, and the right column for Engineering Planning Grant (EPG) Program costs. Submit the form in excel format.

	<u>COST (GIGP)</u>	<u>COST (EPG)</u>
CONSTRUCTION		
		NA
ENGINEERING		
ABC Engineering		\$25,001.00
EQUIPMENT		
Flow Meter Rental Company		\$7,499.00
LEGAL		
ADMINISTRATIVE FORCE ACCOUNT		
Clerk's Office - Administrative Assistance		\$1,000.00
TECHNICAL FORCE ACCOUNT		
DPW Staff - Field Assistance		\$2,500.00
OTHER (Please Specify)		
Total Project Costs: \$0.00 \$36,000.00 Eligible Project Costs: \$36,000.00 Grant Amount: \$30,000.00 Minimum Required Local Share: \$0.00 \$6,000.00 Total Local Share: \$0.00 \$6,000.00 Other Sources of Funding (Please Specify):		

Engineering planning services for preparation of an engineering report

List primary agreements made directly with the municipality (not subcontracts)

Contracts over \$25,000 must meet MWBE/SDVOB requirements

BUDGET:
Actual project costs

Force account allows the municipality to count payroll as a project cost

Minimum total project cost based on awarded grant amount

Amount from award letter

PLAN OF FINANCE:
Sources of funds

Municipal contribution

Grant Disbursement Schedule

- Once all supporting documentation has been received, the grant agreement can be executed in approximately 6-8 weeks.
- Disbursements are advanced in two portions:
 - 50% of the grant will be paid to the community when the grant agreement is executed.
 - The remainder of the grant for total eligible costs will be paid to the community when EFC and DEC accept the engineering report.
 - All invoices and cost documentation are required at this time, including records for force account.

Engineering Report Outline

Reports must include:

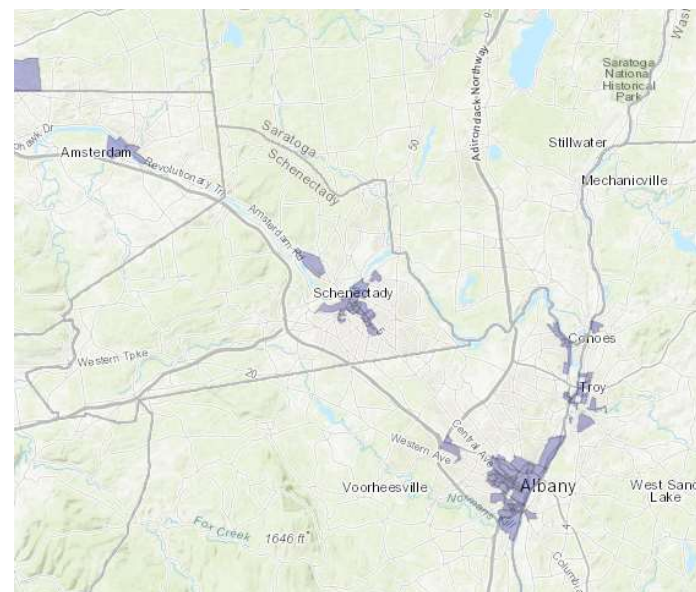
- Alternative analysis
- Capital improvement project recommendation
- Cost estimate & schedule
- Energy efficiency measures
- Green infrastructure alternative
- Resiliency & floodplain considerations
- Consider impacts on Environmental Justice (EJ) areas
- Include location maps showing overall service area, existing project site, and proposed improvements

Check EFC's website for the latest version of the report outline.

Environmental Justice (EJ)

Environmental Justice: *Environmental Justice is the fair and meaningful treatment of all people, regardless of race, income, national origin or color, with respect to the development, implementation, and enforcement of environmental laws, regulations and policies. Environmental Justice allows for disproportionately impacted residents to access the tools to address environmental concerns across all of DEC's operations.*

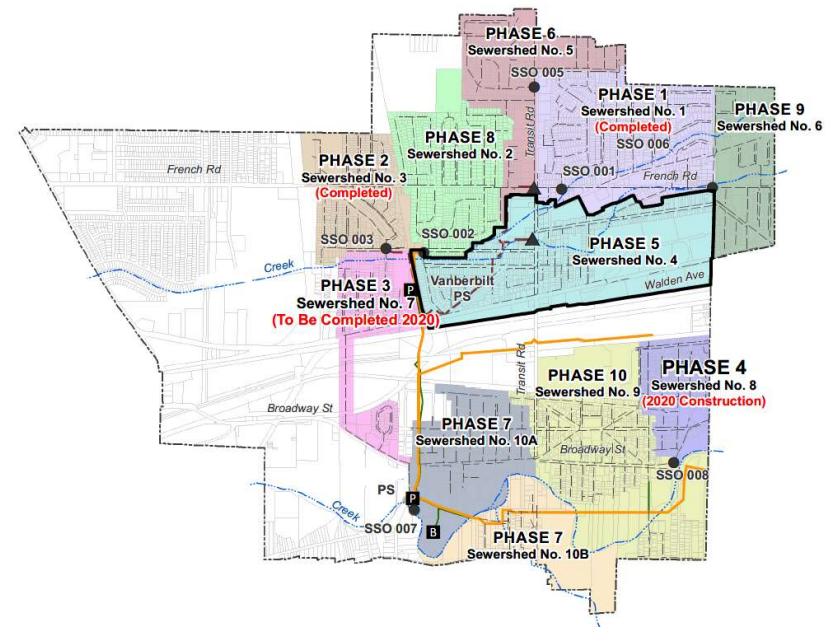
- Discuss how your project impacts an EJ area
- Include a project map in the report appendix
- Use DEC's Info Locator Tool:
<https://www.dec.ny.gov/pubs/109457.html>



Maps & Figures

All engineering reports must provide a series of maps, drawings, and/or figures that details information regarding the site, the project, and its impacts:

- Overall service area
- Existing project site
- Proposed improvements for each alternative



Financing Available After EPG

The goal of the EPG program is to help municipalities complete project planning in order to advance the project to construction and finance the capital project with EFC or other funding agencies.

- A project must be listed on EFC's Intended Use Plan (IUP) Annual List in order to be eligible for EFC financing.
- Submit the Engineering Report & Smart Growth Assessment by the end of the listing period.

Program Contacts

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For more information on the EPG Program please visit *efc.ny.gov/EPG*.